

# APEX Regulatory Reports Specifications

V1.2

9 May 2019

**Revision History:**

Version	Date	Change
1.0	31 January 2018	First Draft
1.1	2 February 2018	Change: <ol style="list-style-type: none"><li>1. Change “String” field type to text.</li><li>2. Update explanation of some fields.</li><li>3. Update sample report accordingly.</li></ol>
1.11	9 May 2018	Change:  “Large Position Report” should apply to all accounts instead of omnibus accounts only.
1.2	9 May 2019	Add APEX LPR reportable level link

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## 1. Objective

This document defines reporting requirements by APEX Clearing House.

## 2. Reports Required by APEX

All reports need to be submitted to APEX in csv format. After filling up, members can submit the report via email (to operations@asiapacificex.com) or upload to APEX sFTP “upload” folder.

### 2.1 Open Position Report

#### 2.1.1 Scope

This report is for members to inform Exchange their individual clients’ positions under all omnibus accounts for a full business day, including trades done during night session.

A position is not required to report if both long and short positions are zero.

Individual accounts are not required for this report.

#### 2.1.2 Time

Members should submit this report daily by 10AM of the next business day.

#### 2.1.3 Format

Coolum delimiter: comma

Column Number	Header	Format	Optional	Explanation
1	S/N	Integer	N	Row number starting from 1.
2	Position Acc ID	Text	N	Position Account ID (e.g. A3001_CO_003101) or Client ID (e.g. 003101, without member and account type prefix)
3	Business Unit	Text	N	Sub account or Trading account
4	Name	Text	N	Sub-account owner’s name for that Business Unit
5	Contract	Text	N	APEX instrument name (e.g. PF1806)
6	Long	Integer	N	Number of lots. Minimum is 0.
7	Short	Integer	N	Number of lots. Minimum is 0.

#### 2.1.4 File Name

<Member ID>\_OPR\_yyyymmdd.csv

#### 2.1.5 Sample

Filename: A1001\_OPR\_20171001.csv

File content:

```
S/N,Position Acc ID,Business Unit,Name,Contract,Long,Short  
1,A1001_CO_ACC001,ClientABC,ABC Company,PF1801,25,0
```

## 2.2 Large Position Report

### 2.2.1 Scope

This report is for members to inform Exchange their individual clients' positions, which exceed Exchange defined reportable level. Please find reportable level from APEX website, which is subject to change from time to time.

<https://www.asiapacificex.com/Trading/Trading-Related-Information/360.html>

This report is applicable for all accounts, including both net and omnibus accounts.

A position is not required to report if both long and short positions are zero.

### 2.2.2 Time

Members should submit this report by 10AM of the next business day if any of their client's positions exceed Exchange defined threshold.

### 2.2.3 Format

Coolum delimiter: comma

Column Number	Header	Format	Optional	Explanation
1	S/N	Integer	N	Row number starting from 1.
2	Position Acc ID	Text	N	Position Account ID (e.g. A3001_CO_003101) or Client ID (e.g. 003101, without member and account type prefix)
3	Business Unit	Text	N	Sub account or Trading account.
4	Identity of Beneficial Owner	Text	N	An individual or a company's name.  If the sub-account is a FCM or Trading Member, Members may instruct the respective Position Account holders to submit, and such Position Account holders shall submit this information directly to the Clearing House at <a href="mailto:operations@asiapacificex.com">operations@asiapacificex.com</a> .
5	ID Type	Text	N	E.g. Passport, IC or ARCA Bizfile
6	Identity Number	Text	N	E.g. S8886666A
7	Contract	Text	N	APEX instrument name (e.g. PF1806)
8	Long	Integer	N	Number of lots. Minimum is 0.
9	Short	Integer	N	Number of lots. Minimum is 0.
10	Trading Strategy	Text	N	E.g. Hedging, Arbitrage or Speculation

				<p>The details of Trading Strategies shall be reported within 3 business days from the first day a person/position account becomes reportable.</p> <p>The rest of the information shall be reported on the day it becomes reportable.</p>
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#### 2.2.4 File Name

<Member ID>\_LPR\_yyyymmdd.csv

#### 2.2.5 Sample

Filename: A1001\_LPR\_20171001.csv

File content:

```
S/N,Position Acc ID,Business Unit/Client Acc,Identity of Beneficial Owner,ID
Type,Identity Number,Contract,Long,Short,Trading Strategy
1,A1001_CO_033001,ClientABC,ABC Company,ACRA
Bizfile,1234567,PF1801,1200,0,Hedging
```

## 2.3 Position Accountability Report

### 2.3.1 Scope

This report is for members to inform Exchange their individual clients' positions exceeding Exchange defined threshold.

This report is only applicable for products without position limit.

This report is only applicable for omnibus account.

A position is not required to report if both long and short positions are zero.

### 2.3.2 Time

Members should submit this report by 10AM of the next business day if any of their client's positions exceed Exchange defined threshold.

### 2.3.3 Format

Column delimiter: comma

Column Number	Header	Format	Optional	Explanation
1	S/N	Integer	N	Row number starting from 1.
2	Position Acc ID	Text	N	Position Account ID (e.g. A3001_CO_003101) or Client ID (e.g. 003101, without member and account type prefix)
3	Business Unit	Text	N	Sub account or Trading account.
4	Identity of Beneficial Owner	Text	N	An individual or a company's name.  If the sub-account is a FCM or Trading Member, Members may instruct the respective Position Account holders to submit, and such Position Account holders shall submit this information directly to the Clearing House at operations@asiapacificex.com.
5	ID Type	Text	N	E.g. Passport, IC or ARCAR Bizfile
6	Identity Number	Text	N	E.g. S8886666A
7	Contract	Text	N	APEX instrument name (e.g. PF1806)
8	Long	Integer	N	Number of lots. Minimum is 0.
9	Short	Integer	N	Number of lots. Minimum is 0.
10	Trading Strategy	Text	N	E.g. Hedging, Arbitrage or Speculation  The details of Trading Strategies shall be reported within 3 business days from the first day a person/position account becomes reportable.



				The rest of the information shall be reported on the day it becomes reportable.
11	Nature of Owner's Related Cash Positions	Text	N	Double quote is needed if the text contains comma.  E.g.  "Owns 100,000MT of palm olein and 50,000MT of crude palm oil"  Or  "Owns USD 5,000,000 in bank account"
12	Purpose of Exposure of Futures Positions	Text	N	Double quote is needed if the text contains comma.  E.g.  "10,000 lots for hedging 100,000MT of palm olein, 5,000 lots for hedging 50,000MT of crude palm oil, 3,000 lots for arbitrage with DCE's palm oil futures position, and 2,000 lots for speculation"  Or  "To buy 150,000MT of palm olein"

### 2.3.4 File Name

<Member ID>\_PAR\_ yyyymmdd.csv

### 2.3.5 Sample

Filename: A1001\_PAR\_20171001.csv

File content:

```
S/N,Position Acc ID,Business Unit/Client Acc,Identity of Beneficial Owner,ID
Type,Identity Number,Contract,Long,Short,Trading Strategy,Nature of Owner's
Related Cash Positions,Purpose of Exposure of Futures Positions
```

```
1,A1001_CO_033001,ClientABC,ABC Company,ACRA
Bizfile,1234567,PF1801,1200,0,Hedging,"10,000 lots for hedging 100,000MT of
palm olein, 5,000 lots for hedging 50,000MT of crude palm oil, 3,000 lots for
arbitrage with DCE's palm oil futures position, and 2,000 lots for
speculation","Owns 1,000,000MT of palm olein in the ABC warehouse"
```

```
2,A1001_CO_DEF,DEF123,ABC Company Pte
Ltd,ACRA,1234567,PF1810,"15,000.00",,Hedging,"Owns USD 5,000,000 in bank
account","To buy 150,000MT of palm olein","Owns USD 10,000,000 in bank
account"
```